



09-16-04

Docket No. 8201/SYNX/JB

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

1FW

Mail Stop Amendment  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Re: Inventor(s): Michael R. Rice, Eric A. Englhardt, Vinay Shah, Martin R. Elliott, Robert B. Lowrance and  
Jeffrey C. Hudgens  
Title: SYSTEMS AND METHODS FOR TRANSFERRING SMALL LOT SIZE SUBSTRATE CARRIERS  
BETWEEN PROCESSING TOOLS  
Serial No.: 10/764,620  
Filed: January 26, 2004  
Examiner: Not yet assigned  
Art Unit: 2125

Transmitted herewith is:

- ☒ PTO Form 1449 and Supplemental Information Disclosure with copies of references cited therein.  
☒ Transmittal in duplicate.  
☒ Return Postcards.

FEE CALCULATION					
Fee Items	Claims Filed	Included With Basic Fee	Extra Claims	Fee Rate	Total
Total Claims	N/A	- 20 =	-0-	X \$18.00	\$0.00
Independent Claims	N/A	- 3 =	-0-	X \$84.00	\$0.00
Basic Filing Fee				\$740.00	\$0.00
TOTAL FEES					\$0.00

☐ The Commissioner is hereby authorized to charge \$0.00 to Deposit Account No. 04-1696.

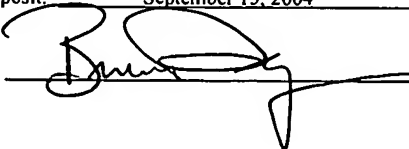
☒ The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. 04-1696. A duplicate copy of this transmittal is enclosed.

☒ Please address all future correspondence to:  
Customer # 41161  
Dugan & Dugan, PC  
55 South Broadway  
Tarrytown, NY 10591

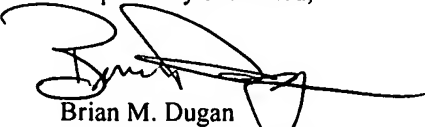
I hereby certify that this correspondence is being deposited with the United States Postal Service as express mail in an envelope addressed to: Mail Stop Amendment, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

Express Mail Receipt No. EV403025890US

Date of Deposit: September 15, 2004

Signature: 

Respectfully submitted,

  
Brian M. Dugan  
Attorney for Applicants  
Registration No. 41,720  
(914) 332-9081



Express Mail Label No. EV403025890US

Docket No.:  
8201/SYNX/JB

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicants : Michael R. Rice et al.  
Serial No. : 10/764,620  
Filed : January 26, 2004  
For : SYSTEMS AND METHODS FOR TRANSFERRING SMALL  
LOT SIZE SUBSTRATE CARRIERS BETWEEN  
PROCESSING TOOLS  
Examiner : Not yet assigned  
Customer No. : 41161

Mail Stop Amendment  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT

Sir:

In accordance with 37 C.F.R. §§ 1.56 and 1.97,  
applicants wish to call the attention of the Examiner to the  
following references:

U.S. Patent No. 5,762,544, Zuniga et al.

Foreign Art Reference No. EP 0 987 750 A1 (EPO)

Foreign Art Reference No. EP 1 134 641 A1 (EPO)

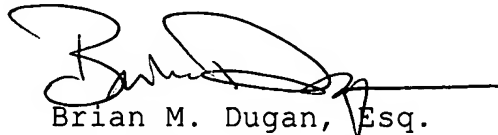
Foreign Art Reference No. WO 99/64207 (WIPO)

Foreign Art Reference No. WO 02/19392 A1 (WIPO)

These references are also listed on the accompanying  
Information Disclosure Statement (Form PTO-1449).

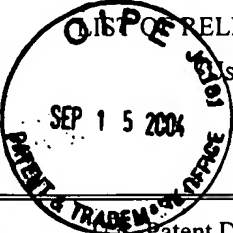
Consideration of the foregoing in relation to this  
patent application is respectfully requested.

Respectfully Submitted,

A handwritten signature in black ink, appearing to read "Brian M. Dugan", with a horizontal line extending to the right.

Brian M. Dugan, Esq.  
Attorneys for Applicants  
Registration No. 41,720  
Dugan & Dugan, PC  
Tel.: (914)332-9081  
Fax: (914)332-9082

Dated: September 15, 2004  
Tarrytown, New York

U.S. Department of Commerce, Patent and Trademark Office  				Docket No.: 8201/SYNX/JB		Serial No.: 10/764,620	
RELEVANT ART CITED BY APPLICANT (Use several sheets if necessary)				Applicants: Michael R. Rice, et al			
				Filing Date: January 26, 2004		Group: 2125	

U.S. Patent Documents							
*Examiner Initial	Document Number	Issue Date	Name	Class	Subclass	Filing Date If Appropriate	
	US-1	5,762,544	06/09/98	Zuniga et al.	451	285	
	US-2						
	US-3						
	US-4						
	US-5						
	US-6						
	US-7						
	US-8						
	US-9						
	US-10						
	US-11						

Foreign Patent Documents							Translation	
Document Number	Date	Country	Class	Subclass	Yes	No		
F-1	EP 0 987 750 A1	03/22/00	EPO		X			
F-2	EP 1 134 641 A1	09/19/01	EPO		X			
F-3	WO 99/64207	12/16/99	WIPO		X			
F-4	WO 02/19392 A1	03/07/02	WIPO		X			
F-5								

OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.)	
OT-1	
OT-2	
OT-3	

Examiner	Date Considered
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**\*EXAMINER:** Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with your communication to applicant.